

Risk Assessment Procedure

1. Introduction and Legislation

- 1.1 The University is committed to managing and improving on Health & safety at work by putting into place control and monitoring arrangements such as processes and procedures to assess risks relating to our campus and our activities. This is based on legal requirements as set out in The Management of Health and Safety at Work Regulations (MHSWR) 1999 which notes explicit duties to carry out risk assessments to assess and control risks:
- to the health and safety of our employees to which they are exposed whilst at work
 - to the health and safety of persons not in our employment who could be affected by our activities, such as our students, visitors and contractors.
- 1.2 These general duties sit side by side with duties in other health and safety regulations and Approved Codes of Practice (ACOP's) and where possible and pragmatic we will strive to go beyond minimum standards for continual improvements. Specific as well as general duties often require simultaneous attention in the overall assessment of a work-related activity or area of work.
- 1.3 This procedure specifically covers risk assessments for events and activities associated with the University. Other types of risk assessments such as those relating to computer usage, pregnancy, stress, dangerous substances, fire, infectious diseases etc will have their own specific procedure, guidance and assessment template.

2. General Principles

- 2.1 All staff members are required to ensure adherence to the University's policies, procedures and codes of practice, as well as to departmental rules and safe systems of work.
- 2.2 The adequate management of risk requires the production of written safe systems of work, rules and procedures, which identify areas of potential risk and clarify the process by which activities will be performed in order that they can be executed safely. Adequately conducted risk assessments and the attempt to eliminate or mitigate perceived threats are essential for the effective management of risk.

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2.3 Risk assessments must be carried out or reviewed 4 weeks prior to the event date for the following:

- Students or staff travelling abroad on university business (Refer to specific guidance and risk assessment templates in the Study/Work Abroad Policy, the University Travel Policy and also the Guidance and Protocol for Proposed Trips and Visits which covers travel within the UK as well as overseas)
- Trips and visits within the UK (if these are routine or low risk then they might be subjected to annual reviews within departmental risk assessments.
- Major events or activities (the definition of a major event will be initially determined by the manager for this activity relating to significance due to possible consequences including reputation, number of people affected, critical activities or new and unknown risks)
- Work experience or placements especially for young people below the age of 18 or children below 16.

2.4 The risk assessment form allows you to record the **significant findings** relating to hazards, risk, control measures and risk evaluation. Any risk assessment must be '**suitable and sufficient**', based on your understanding, knowledge and training.

3. Responsibilities and Implementation of the Procedure

3.1 It is both a line-manager and departmental responsibility to ensure that risk assessments for their activities and events are completed, reviewed, signed off appropriately and forwarded to Health & Safety.

3.2 Any risk assessment considered under section 2.3 must be carried out at least **4 weeks** prior to the event and forwarded to the Health & Safety Manager before any plans have been finalised so that any threats can be managed and recommendations made where necessary.

3.3 The Health & Safety manager will develop an ongoing monitoring programme to ensure all areas of the University have suitable and sufficient risk assessments in place. This will form part of an annual report to the Council and Newman Management Group. The report will facilitate a critical review of trends and necessary corrective action.

3.4 The Health & Safety Manager will provide specific advice and support to the responsible manager or staff conducting the risk assessment as requested or following reviews.

3.4 The HR Director will be responsible for ensuring this procedure is implemented.

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4. Risk Assessment Process

- 4.1 The Regulations require employers to assess the risk to the health and safety of their employees and to anyone else who may be affected by their work activity. This is necessary to ensure that the preventative and protective steps can be identified to control risks in the workplace.
- 4.2 A **hazard** is something with the potential to cause harm. Common hazards and their causes are listed in Appendix 1. When completing a risk assessment form the individual must refer to the list of hazards and the Risk Assessment Process in Appendix 3.
- 4.3 A **risk** is the likelihood of potential harm from being realised. The extent to which a risk may become harmful will depend on a number of factors:
- Likelihood of occurrence
 - Potential severity
 - The population, which might be affected (including the number of persons who might be exposed to harm) and the consequence of such exposure
- 4.4 The intention of a risk assessment is to be **suitable and sufficient** in identifying the significant risks which arise out of the work activity; trivial risks should be noted but generally not acted upon unless the work activity compounds those risks.
- 4.5 The risk assessment should be conducted to determine the measures necessary to eliminate or control the hazards identified. They must also identify any areas that may require 'special' attention in the form of specific risk assessments under other statutory provisions, for example complying with the Control of Substances Hazardous to Health Regulations (COSHH).
- 4.6 In order for the risk assessment process to work effectively it requires those responsible for the identification, assessment, control and implementation to take ownership of associated risks.
- 4.7 To conduct the risk assessment the line manager for the area or service, in conjunction with any other persons with a responsibility in the area to be assessed which may also include the Estates Management Team, will complete the University Risk Assessment Form (located on the intranet for the latest version) or Overseas Risk Assessment Form (see intranet for latest version), using the guidance and Risk Matrix (Appendix 1-4).

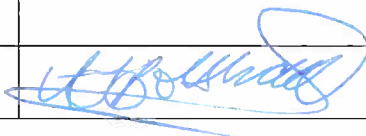
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- 4.8 Once the risk assessment is complete all involved in the assessment process will sign the form in acceptance of its content. See the Review Section for further signoff information.
- 4.9 The responsible manager shall ensure any additional actions are completed within agreed timescales.
- 4.10 Where timescales/actions cannot be agreed between the parties the Director of Human Resources and the member of the Directorate responsible for the area will arbitrate.
- 4.11 Management authorisation is indicated on the risk assessment by name/signature. An authorised copy of the risk assessment form, or any significant revisions must be returned via email (health_and_safety@newman.ac.uk) so that it can be recorded prior to reviews.

5. Review of the Risk Assessment

- 5.1 The manager with responsibilities for their assessed activities will ensure local review. Their signature is key to the risk assessment for ownership relating to the activities and events taking place.
- 5.2 The Health & Safety Manager will sign the risk assessment as a reviewer if it is requested within the review timescale and primarily for external purposes. The Health & Safety Risk Assessment Database log will indicate if it has been reviewed or commented on for H&S advice.
- 5.3 The Health & Safety manager will ensure that the risk assessment process is reviewed on an agreed monitoring basis as part of the general health and safety monitoring responsibilities highlighted in section 3.

This Risk Assessment Procedure supersedes all previous Risk Assessment Procedures and shall be reviewed at no less than 3 yearly intervals

Authorised By: Chair of Health & Safety Committee	Signature: 	Issue Date: May 2022
Review Date: April 2025		

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Appendix 1: Hazard Identification Check List

This list is intended to assist with the identification of **common hazards** generally found in the workplace. However, in specialist areas e.g. Estates, Housekeeping, Catering there will be **task specific hazards** that will require further identification. Advice on accessing specific hazards is available from referring to the appropriate health and safety regulations, approved code of practice and HSE website.

The Health & Safety Manager is able to provide advice and guidance in identifying hazards in support of the responsible person completing the Risk Assessment. Potential hazards to consider may include:

Access/ Egress
Biological infections
Confined Spaces
Contractors
Chemicals/ hazardous substances
Display Screen Equipment
Dust
Electricity
Fire
First Aid
Food/ hygiene
Lighting
Lone Working
Machinery and workplace tools
Manual Handling
Noise concerns
Personal Protective Equipment
Security
Slips/ trips. falls
Storage
Stress/ mental health
Temperature, Cold/ Hot Surfaces
Trailing Leads
Vehicles
Ventilation quality
Violence
Weather
Work at height
Work Environment
Work Equipment
Work experience
Work Methods
Work-related travel (overseas): For guidance on travelling abroad, please refer to travel advice from the Foreign Commonwealth Office website and other associated University travel policy and guidance.

This is not an exhaustive list and there may be other hazards particular to the activity or area being assessed which require identification.

Appendix 2: Risk Assessment Process Guidance

Under Regulation 3 of the Management of Health and Safety at Work Regulations 1999, employers and the self-employed must assess the risks to anyone who may be affected by their work activities. Assessments must be revised if they cease to be valid, or the work activity changes, or additional hazards are introduced. Employers with five employees or more must assess the risks and record any employee or groups of employees identified to be at significant or high risk and record them in writing. This is in line with other regulations under the Health and Safety at Work Act 1974. The findings of the risk assessment will govern the way employers comply with subsequent duties.

The Approved Code of Practice, which accompanies the Regulations, states that 'a Risk assessment should usually involve identifying the Hazards present in any undertaking (whether arising from work activities or from other factors, e.g. the work layout, the design of the premises etc) and then evaluating the extent of the risks involved taking account of any existing control measures.

A HAZARD is something with the potential to cause harm which may include methods of work, work organisation, the environment, substances etc.

A RISK is defined as the **likelihood** that the hazard identified will actually cause harm and its **SEVERITY**. Extent of the risk is determined by the persons identified who are at risk; especially the vulnerable, young persons, students, pregnant workers, staff generally, as well as people who may not be familiar with our site such as visitors and contractors. Precautions **MUST** be identified and implemented for high risk consequences.

A risk assessment must be SUITABLE and SUFFICIENT as follows:

1. Identify the significant risks arising from the work activity.
2. Enable the employer to identify and prioritise measures that need to be taken to comply with statutory provisions.
3. Be appropriate to the nature of the work and be valid for a reasonable period of time

In particular a risk assessment should:

1. Ensure that all relevant hazards are identified and addressed
2. Address what actually happens in the workplace or work activity
3. Identify all those who may be at particular risk
4. Take account of existing preventative or precautionary measures already in place.

The Assessment Process

The assessment of hazards using the following process is best undertaken on a team basis but it is essential that the departmental manager and/or supervisor and staff members are involved in the process.

Professional expertise may be required in some instances (i.e. where chemicals may be involved, noise, manual handling, personal protective equipment, etc). Advice may be obtained from the Health & Safety Manager, the Estates team, the Fire Officer.

The process **MUST** be supported by adequate documentation.

Fundamentally the Risk Assessment **MUST** take into account the following factors:

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1. Likelihood that an accident or incident could occur
2. Potential loss in terms of injury, damage, or loss
3. Frequency of exposure
4. Number of people affected

A hazard identification checklist based on Appendix 1 should be tailored and established for the department or Area being assessed to enable all hazards to be identified. The hazard identification checklist can then be used to identify trivial risks by a simple qualitative judgement.

A quantitative approach to the detailed assessment of risk is then used through the use of an overall risk rating, to identify higher risk activities.

All Risk Assessment documentation must be forwarded via email to health and safety@newman.ac.uk for record keeping.

Completing the Documentation

The risk assessment process is based on the 5 principles set out by the HSE in their guidance - Principles of Risk Assessment and developed in the Newman University risk assessment process and training provided.

Step 1

Using the document Hazard Identification Check List identify the hazards in your work place or the work activity you are assessing. Use the Common Hazards Check List to assist you in identifying common hazards found in the work place.

Step 2

Complete the Risk Assessment Form with sufficient information on the event or activity, identify where a hazard would result in a risk that needs addressing. Identify where possible, the legal requirements to indicate compliance with the appropriate regulations.

Step 3

Evaluate the risks before and after the actions required to reduce and or control the risks you identified using the Risk Rating Calculation identified. This will be a good indicator of the severity of the potential risk you have identified and the priority to attach to the actions required.

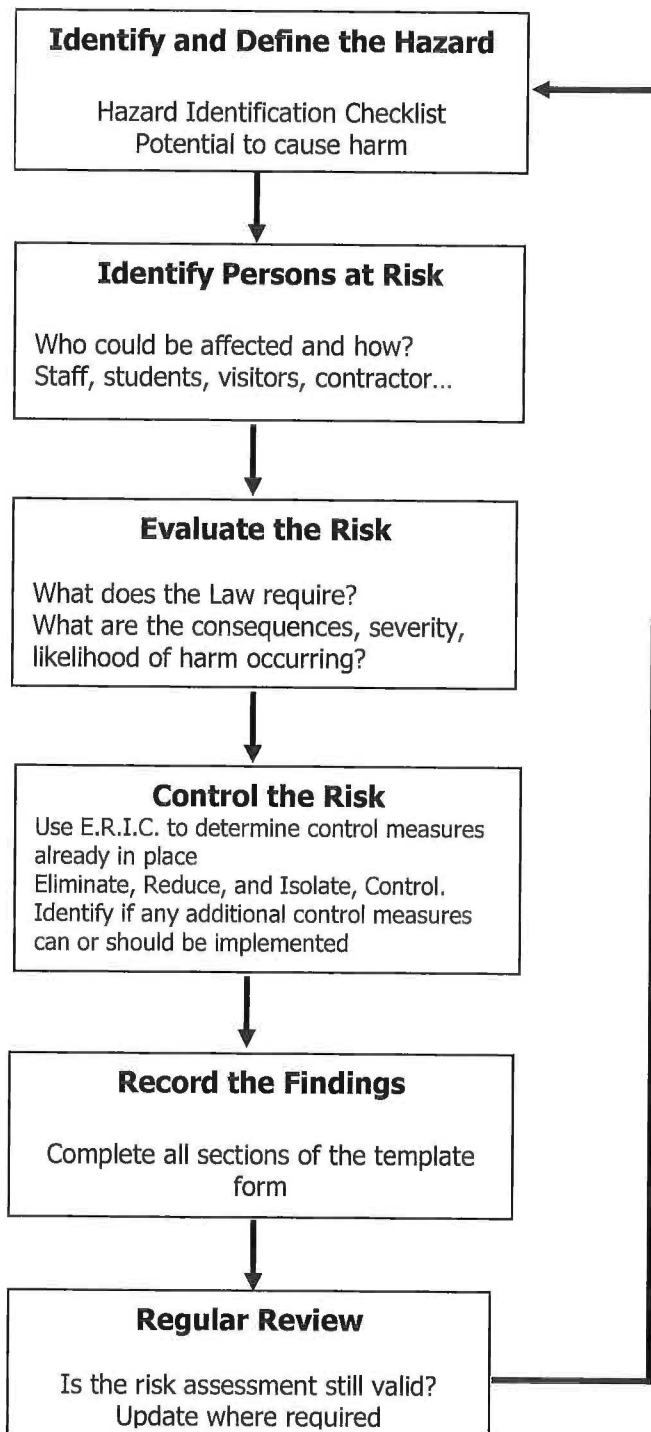
Step 4

Identify the priority required in order to either:-

- a) Eliminate the Risk
- b) Reduce the Risk
- c) Isolate the Risk
- d) Control the Risk

Step 5

Review and evaluate the process and disregard low risk activities.

Appendix 3: Risk Assessment Flowchart

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Appendix 4: Newman University Risk Matrix

The risk matrix provides a method to support a consistent approach for estimating risk based on a simple matrix of the 'probability that an event will occur' (P) and the 'severity of the outcome' (S). In effect, risk equals probability of occurrence multiplied by the severity of the outcome, Risk (R) = P x S.

Probability (P) rating	Severity (S) rating		
	Minor (1)	Serious (2)	Major (3)
(1) Low, may happen	1	2	3
(2) Medium, could happen	2	4	6
(3) High, will happen	3	6	9
Risk Categories:			
Acceptable	Marginal	Moderate	Unacceptable

Refer to the Newman University Risk Matrix Explanatory Notes to determine risk ratings and Legal References.

NB: If activities give rise to specific risks that should be assessed further such as manual handling, COSHH, display screen equipment then reference needs to be made to the relevant risk assessment form and guidance document for such.

Probability (P) that an event will occur.

Probability	Rating	Criteria to consider in relation to the hazard being assessed
Low, may happen	1	Where harm will seldom occur. A hazard is rarely approached and/or is infrequently present in the workplace, e.g. a less than 25% chance that the hazard will be experienced if, for example, the work was being undertaken for an 8-hour average working day.
Medium, could happen	2	Where harm will often occur. A hazard is sometimes approached and/or is frequently present in the workplace, e.g. between a 25% and 75% chance that the hazard will be experienced if, for example, the work was being undertaken on for an 8-hour average working day.

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High, will happen	3	Where it is certain that harm will occur. A hazard is always approached and/or is permanently present in the workplace, e.g. a greater than 75% chance that the hazard will be experienced if, for example, the work was being undertaken for an 8-hour average working day.
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Severity	Rating	Severity (S) of the outcome (if the event is realised).
Minor	1	Injuries that are unlikely to be reportable under RIDDOR, e.g. superficial or minor first-aid injuries such as minor cuts, bruises, eye irritation, nuisance skin irritation, transient or non-persistent coughing etc; and small fires with little or no disruption.
Serious	2	Injuries that are likely to be reportable as a >7-day injury under RIDDOR, such as lacerations, burns, strains and sprains, minor fractures to the fingers or toes, non-permanent work-related upper limb disorders, eye irritation, persistent coughing, nausea, breathing distress, dermatitis, chrome and other ulcerations; and minor fires causing transient disruption.
Major	3	Injuries that are reportable as major injuries under RIDDOR, such as fatalities, amputations, major fractures, multiple injuries, permanent work-related upper limb disorders, poisonings, permanent or semi-permanent blindness, occupational cancers, acute or severely life-shortening diseases, occupational asthma, etc; and fires causing significant disruption and/or major loss to or destruction of property or premises.

Risk Categories:

The following explains the typical actions required to manage different risks categories. In simple terms, the higher the risk category, the greater the potential for a serious incident, injury or fire and, consequently, greater controls are required.

(i) An unacceptable (or high) risk, a risk rating of 9.

Such risks in the workplace are unacceptable and work should not commence. If work is in progress, it must be stopped immediately until such actions are taken as to reduce or control the risk to an acceptable level. Temporary controls, except in an emergency situation would not be sufficient to justify work commencing or continuing. Risk reduction plans should be documented and fully implemented before recommencing work.

(ii) A moderate risk, a risk rating of 6.

Such risks are unacceptable and work should not commence. If work is already in progress, it should be suspended until such actions are taken as to reduce or control the risks. This could include the use of temporary control measures until a permanent solution is implemented. Existing controls require careful management and supervision to ensure their effective implementation. A written action plan should be developed to further reduce or control the risks.

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(iii) A marginal risk, a risk rating of 3 or 4.

Such workplace risks are tolerable and, generally, work can commence or continue. However, if appropriate, a written action plan should be developed to further reduce or control the risks to a more acceptable level. The existing control measures are generally appropriate to control or manage the risks, but require on-going management supervision, such as by an audit, to ensure their continuous implementation.

(iv) An acceptable (or low) risk, a risk rating of 1 or 2.

Such risks are, generally, seen as being acceptable without any specific workplace controls being required. Any existing controls are appropriate to manage the risks. Management supervision and employee training are required to ensure the existing controls, including the use of personal protective equipment (PPE), are implemented.

Appendix 5: General Risk Assessment Form Template (vr August 2022) available on the intranet

